

**STATE OF ARIZONA**

**FISCAL YEAR 2008 CAPITAL PLAN**

**CAPITAL REQUEST FORMS and INSTRUCTIONS**

**Department of Administration  
General Services Division**

# FY 2008 CAPITAL PLAN INSTRUCTION MANUAL

## Capital Project Requests

The FY 2008 Capital Improvement Plan forms reflect the legislatively mandated change to an annual capital budget. The General Services Division of the Department of Administration has prepared these forms and electronic copies are available using the Microsoft Excel spreadsheet software. Questions regarding the Capital Improvement Planning forms and process should be directed to:

Roger Berna, General Manager ( 602 542-1945) or

Bruce Meyers, Capital Improvement Planner (602 542-6052).

Enclosed for your use are the following items:

1. Instructions for the Capital Plan Forms

2. FY 2008 Capital Plan forms:

- |  |            |
|--|------------|
| • Capital Project Request Transmittal            | CIP Form 1 |
| • One Year Capital Plan                          | CIP Form 2 |
| • Capital Project Scope & Cost                   | CIP Form 3 |
| • Capital Project Description                    | CIP Form 4 |
| • FY 2009-2010 Two Year Capital Project Forecast | CIP Form 5 |
| • Building Renewal Forecast                      | CIP Form 6 |
| • Capital Project Status Report                  | CIP Form 7 |

3. FY 2007 Building Renewal Project Request Justification

Pursuant to A.R.S. § 41-793 all agencies within the Department of Administration building system *must complete and return the capital request forms to the General Services Division no later than June 1, 2006 or thirty (30) days after the State Legislature adjourns, whichever is later.* Agencies should use these forms or reconstruct reasonable facsimiles.

**CIP Form 1- Transmittal Statement** must be used for every agency's Capital budget request.

- It secures the signature of the agency director. *The agency must submit an original and four (4) copies of the request.*
- It establishes the date of submission.
- It designates the individual primarily responsible for the preparation of the agency's Capital budget request. Questions regarding the preparation of the budget request will be directed to this person.
- It provides the statutory citation for the agency.
- It summarizes each agency's FY 2008 One year Capital Budget request for the following fund sources: General Fund, other Appropriated Funds, Federal Funds, and other Non-appropriated Funds and total Building Renewal Project needs.

**CIP Form 2- One Year Capital Project Requests** is used to summarize the information provided on the Capital Project Scope & Cost forms (CIP Form 3). All future capital projects which do not qualify for building renewal should be listed on this form. This includes all capital construction projects, land acquisitions, and infrastructure replacement/repair.

*Priority Number:* All capital project requests must be ranked in priority order for this summary.

*Project Name:* The project title should try to convey the location, type, and scope of work.

*Project Description:* Explain the purpose of the request and identify all funding sources if there are more than one.

*Fund Source:* Identify the proposed source of funding, i.e., General, Federal, Game and Fish, etc. If necessary, list multiple fund sources for each project.

*Total Costs:* List the costs for the project for all years.

**CIP Form 3 - Capital Project Scope and Cost** provides the detail only for the one year capital plan projects. This should include all capital construction projects, land acquisitions, and infrastructure replacement or major repairs. ***Do not duplicate building renewal project requests.***

*Project:* List the project title that conveys the location, type, and scope of work.

*Priority Number:* Agencies must rank-order all projects for the FY 2008 plan.

Arizona statutes require each agency should give priority fire and life safety related projects.

### **Project Scope**

*GSF:* Provide statistics regarding gross square feet; new square feet if project is for new construction, amount of area to be remodeled if project is for major renovation.

*NASF:* Provide statistics regarding net area square feet; new square feet if project is for new construction, amount of area to be remodeled if project is for major renovation.

### **Construction Cost**

*\$/GSF:* Estimate the Construction costs of the project per gross square feet of area served by the project; either new space or remodeled space. Total project construction costs are to be divided by the gross square feet of space.

### **Total Project Cost**

*\$/GSF:* Estimate the cost of the project, including land, furniture, fixtures, equipment, architectural and engineering fees, etc., per gross square feet of area served by the project; Total project costs is to be divided by the gross square feet of space.

### **Capital Cost Estimate**

Estimate costs according to the following items: Land Acquisition = land purchase price; Construction = site development, construction, fixed equipment, utility extensions, parking & landscaping; A&E = architect and engineering and other professional services; FF&E = furniture, fixtures & equipment; Other = telecommunications equipment, etc.

### **Proposed Funding**

List any prior funding, General Fund request and any other funding source such as Federal, State Lake Improvement, etc.

### **Estimated Change in Annual Facility Operating Costs**

ARS statutes mandate agencies to identify the effect of the acquisition or capital project on the future operating expenses of the state. These expenses are the increases or decreases in funding which will be necessary to support the operation of the new facility or the maintenance of the new property.

Explanatory information should be provided on the Capital Project Justification Schedule. Projects with no fiscal impacts should be supported with a reasonable explanation. Also include, if applicable, the number of new FTE's needed to operate the new facility or the additional space.

### **Proposed Funding Schedule**

Identify the years in which funding will be requested including the appropriate annual amount for multi-year projects.

### **Proposed Phases**

Estimate the date that the project phases, i.e. planning, design, and construction, and occupancy will start.

**CIP Form 4 - Capital Project justification** should explain the need only for the FY 2008 year capital plan project requests. Use this form to provide each project's narrative description and justification. Agencies may submit other pertinent information about the proposed project using additional justification schedules. Written justification should go beyond general statements that contain few specifics on how the State would be better off with the project or how worse off without it.

1. Provide a brief description of the nature (new construction, renovation, or combination) and purpose of the project (e.g., correct facility deficiencies in terms of quality and quantity of space, ADA, life safety, improve operational efficiency, etc.)
2. Identify the location and how this site will support program functions and activities.
3. Describe the use, primary occupants along with the major goals and objectives of the proposed facility or development area.
4. Explain why the project is necessary, and how it will enable the user to meet the presented goals and objectives.
5. Indicate whether the project is part of an overall plan, if so, what phase of the plan; clearly note any other related projects that would be associated with the project.
6. Briefly explain how the capital cost estimate was produced and describe any unique situations that affected the project costs, e.g., site constraints.

**CIP Form 5 - FY 2009-2010 Two Year Capital Project Forecast** is used to provide basic information about projects which are forecasted for FY 2009 through 2010. It is important to list a project even if the cost estimate is very uncertain. Do not list projects that cost less than ten thousand dollars. This list is to be used only for long term planning purposes; thus, a very brief description will suffice for each project. The fund source for each project request should be included in the five year summary.

*Project Name:* List the project title that conveys the location, type, and scope of work.

*Project Description:* Briefly explain the purpose of the request and identify all funding sources if there are more than one.

*Total Cost:* Provide the best estimate of the total costs including professional services, materials and taxes.

**CIP Form 6 - Building Renewal Forecast** will include summary information for each agency's forecasted projects for FY 2008 through 2009. Building Renewal needs will be summarized by primary project categories; shown in Schedule 1. The primary category should reflect the main reason for doing the project. For example, a remodeling project that includes ADA expenditures is not an ADA project. However, a project whose primary purpose is to make a restroom accessible would be an ADA project. Agencies requesting General Fund Building Renewal project allocations for FY 2007 will provide that information on a separate form that will be submitted separately from the formal Capital Plan.

### **Schedule 1 - Building Renewal Primary Categories**

<b>Code</b>	<b>Project Type</b>
1	Fire and Life Safety
2	Preservation of Asset (roofs, walls, doors, exterior paint, structure, etc.)
3	Major building systems repairs/replacement (HVAC, electrical, plumbing, elevators, etc.)

4	Interior building finishes (painting, carpet, tile, ceiling tile, etc.)
5	Reconfigure or remodel occupied space
6	ADA (accessibility is primary reason for project)
7	Infrastructure (Non-building improvements such as utility systems, roadways, parking lots, exterior lighting, sidewalks, irrigation systems, etc.)

**CIP Form 7 - Capital Project Status Report** is to be used to report on the status of **all ongoing or recently completed land acquisitions and capital projects and all Building Renewal expenditures** for the period July 1, 2004 to June 30, 2006. Agencies must, regardless of funding source, submit this report to the Department of Administration by August 31, 2006. Data for each project greater than \$100,000 must be reported by project. Data for projects than are less than \$100,000 should be reported as summary data by primary project category.

*Project:* List the project name.

*Project Number:* List the project number assigned through *AFIS* or other applicable source.

*Primary Category:* Use only one category that clearly identifies the project's primary purpose. Enter the appropriate category for the project based upon Schedule 2.

### Schedule 2 Primary Project Categories

<b>Category</b>		<b>Description</b>
New Construction	NC	The creation of a new facility or the addition, expansion or extension of an existing facility that adds to the building's overall gross square footage.
New Infrastructure	NI	Utility delivery systems, roadway systems, external lighting, sidewalks, irrigation systems, parking lots.
Fire and Life Safety	FL	Improve or eliminate an impending condition that threatens life or property and is about to occur. Facility has received official notice that the condition must be corrected or the facility will be subject to closure.
Roofs	RO	
Major building systems	BS	HVAC, water lines, electrical system, boilers, etc.
Exterior building components	EC	Siding, windows, stucco, painting, parapets, etc.
Interior finishes	IF	Painting, carpet, tile, ceiling tile, etc.
Major remodel	MR	Reconfigure or remodel occupied space that includes multiple categories.
ADA accessibility	AD	
Infrastructure	IF	Utility delivery systems, roadway systems, external lighting, sidewalks, irrigation systems, parking lots.
Land Acquisition	LA	Purchase of land including existing facilities.
Land Sales	LS	Sale of land including existing facilities.

*Fund Source:* List all sources of funds. Report multiple fund sources by each project.

*FY 2006 Expenditures:* List the funds spent from July 1, 2005 to June 30, 2006.

*Total Costs:* List the total amount of funds expended to date; this includes all prior year expenditures plus the FY 2006 expenditures.

*Estimated Total Cost:* List the total costs expected for the project.

*Completion Date:* List the project completion date.

**FY 2007 Building Renewal Project Request Justification** should contain the justification for each building renewal project which each agency is seeking a Building Renewal allocation for FY 2007. Agencies should include any building inspection reports, regulatory reviews, official notices, etc., that substantiate the need for the project. Projects that include comprehensive justifications will be given funding priority. Agencies seeking General Fund allocations should return this form to the Department of Administration (attention: Bruce Meyers, Building Renewal Program Manager) by March 30, 2006.

*Project:* List the project title that conveys the location, type, and scope of work.

*Total Cost:* Provide the best estimate of the total costs including professional services, materials and taxes.

*Category:* Select the building renewal project type which best identifies the principal purpose for each renewal project request. Usually, this will mean the type for which the majority of funds will be expended. Select only one option from Schedule 1.

**ADOA Building Number: Building renewal projects must include the ADOA building number. Project requests without the ADOA building inventory number will not be considered for funding until this information is provided.**

These numbers are on file with Arabinda Ghosh, State Chief Engineer, Building and Planning Services Section, General Services Division of the Department of Administration (542-4438).

*Problem/Justification:* Clearly describe the specific problem or objective that creates the need for this building renewal project. Include specific reference to code violations, legal mandates if applicable, and special building use requirements.

*Proposed Solution:* Briefly describe the nature of the project - what it is, where it is, and what it will do (for example, "this project will replace the 500 ton chiller at the Senate Building to increase operational efficiencies, eliminate R-12 refrigerant, and maintain reliable and dependable cooling for several buildings").

*Principle benefits:* If the benefit is tangible, describe the cost savings, cost avoidance, increased revenue, or improvements to programs. Agencies should indicate how the project will increase the life of the building.

*Cost Estimate Detail:* Identify who prepared the estimate, i.e. consultant, contractor, or staff and the methodology used, such as staff estimate, Means, vendor quote, etc.

**CIP Form 9 - Outstanding Lease-Purchase and Bond Report** is used by the agency responsible for preparing each Building System's Capital Improvement Plan to report the status of lease - purchase agreements and bonds for capital projects. Thus, this form will be completed by the Board of Regents, the Arizona Department of Transportation, and the Arizona Department of Administration.

*Year Issued:* Enter the year that the lease purchase agreements or bonds were floated.

*Title:* Reference name for lease - purchase or bond series

*Project:* List all projects which were funded from proceeds of lease- purchase or bond issue.

*Issue Amount:* Enter original principle amount of lease - purchase or bond.

*Funding Source:* List all funds that will be used for the 2007 payment.

*Term:* Enter the number of years for which payments will be due.

*Bond Type:* Enter the source of revenues that will be obligated for the repayment of the bonds.

*Authorized Amount:* For the Universities, enter the Legislative approved bonding capacity for each type of bond.

*Outstanding Amount:* Enter the remaining principal amount of outstanding bonds for each bond type.

*Authorized Balance:* Enter the amount of unused bonding capacity for each bond type.

**STATE OF ARIZONA  
FY 2008 CAPITAL IMPROVEMENT PLAN  
TRANSMITTAL STATEMENT**

Form  
CIP-1  
(Rev 2/04)

**AGENCY:** \_\_\_\_\_

**A.R.S. CITATION:** \_\_\_\_\_

**GENERAL FUNDS**  
**OTHER APPROPRIATED FUNDS**  
**FEDERAL FUNDS**  
**NON-APPROPRIATED FUNDS**  
  
**TOTAL REQUEST**

Building Renewal Needs	FY 2006 Capital Request	Total Request

This and the accompanying schedules, statements and explanatory information,  
constitute the Capital Budget estimates of this agency for proposed expenditures.

All statements and explanations contained in the estimates submitted herewith are true and correct to the best of my knowledge.

\_\_\_\_\_  
Signature of Agency Head      Title

\_\_\_\_\_  
Request Prepared by      Title      \_\_\_\_\_ Phone      \_\_\_\_\_ Date



# STATE OF ARIZONA

## FY 2008 CAPITAL IMPROVEMENT PLAN

## Form

## CIP-2

(Rev 2/04)

**Agency:** \_\_\_\_\_

[illegible]

**STATE OF ARIZONA  
FY 2008 CAPITAL IMPROVEMENT PLAN  
CAPITAL PROJECT SCOPE & COST**

Form  
CIP-3  
(Rev 2/04)

**Agency:** \_\_\_\_\_

**Project:** \_\_\_\_\_

**Priority:** \_\_\_\_\_

Project Scope		Construction Cost	Total Project Cost
GSF	NASF	\$/GSF	\$/GSF

Capital Cost Estimate <sup>1</sup>	
Category	Cost
Land Aquisition	
Construction	
A & E Fees	
F F & E	
Other	
Total	

Proposed Funding <sup>2</sup>	
Funding Source	Amount
Prior Appropriation	
General Fund Request	
Other:	
Other:	
Total	

Estimated Change Annual Facility Operations/Maintenance	
Category	Annual Costs
Utilities	
Personnel*	
Other	
Total	
Fund Source	
*No. of FTE's	

Proposed Funding Schedule <sup>3</sup>				
Total Costs	Prior	FY2008	FY2009	FY2010

Proposed Work Schedule	
Phase	Start Date
Planning	
Design	
Construction	
Occupancy	

1) Land Acquisition = land purchase price; Construction = site development, construction, fixed equipment, utility extensions, parking & landscaping;

A&E = architect and engineering and other professional services; FF&E = furniture, fixtures & equipment; Other = telecommunications equipment, etc.

2) List all funding sources and clearly identify proposed state funding request. Section will expand and contract based upon the number of funding sources.

3) Identify the years in which funding will be requested for multi-year funding.

**STATE OF ARIZONA**  
**FY 2008 CAPITAL IMPROVEMENT PLAN**  
**FY 2008 CAPITAL PROJECT DESCRIPTION**

Form  
CIP-4  
(Rev 2/04)

**Agency:** \_\_\_\_\_

**Project:** \_\_\_\_\_

**Priority:** \_\_\_\_\_

1. Provide a brief description of the nature (new construction, renovation, or combination) and purpose of the project (e.g., correct facility deficiencies in terms of quality and quantity of space, ADA, life safety, improve operational efficiency, etc.).
2. Identify the location and how this site will support program functions and activities.
3. Describe the use, primary occupants along with the major goals and objectives of the proposed facility or development area.
4. Explain why the project is necessary, and how it will enable the user to meet the presented goals and objectives.
5. Indicate whether the project is part of an overall plan, if so, what phase of the plan; clearly note any other related projects that would be associated with the project.
6. Briefly explain how the capital cost estimate was produced and describe any unique situations that affected the project costs, e.g., site constraints.

**STATE OF ARIZONA**  
**FY 2008 CAPITAL IMPROVEMENT PLAN**  
**FY 2009-2010 TWO YEAR CAPITAL PROJECT FORECAST**

Form  
CIP-5  
(Rev 2/04)

Agency: \_\_\_\_\_

[illegible]

**STATE OF ARIZONA  
FY 2008 CAPITAL IMPROVEMENT PLAN  
BUILDING RENEWAL FORECAST**

Form  
CIP-6  
(Rev 2/04)

Agency: Administration Department

Primary Category	FY 2007	FY 2008
Fire Life Safety		
Preservation of Asset		
Major Building Systems		
Interior Building Finishes		
Major Renovation		
ADA Accessibility		
Infrastructure		
<b>Totals</b>		

## STATE OF ARIZONA

### FY 2008 CAPITAL PROJECT STATUS REPORT

Form  
CIP-7  
(Rev 2/04)

**Agency:**

Project Name (\$100,000 or greater)	Project Number	Primary Category	Fund Source	FY2005 Expenditures	Total Expenditures	Estimated Total Costs	Completion Date
Projects less than \$100,000 (summed by primary category)							
New Building Construction							
New Infrastructure							
Fire Life Safety							
Roofs							
Major Building Systems							
Exterior Building Finishes							
Interior Building Finishes							
Major Renovation							
ADA Accessibility							
Infrastructure							
Land Aquisitions							
Land Sales							
Subtotal: Projects less than \$100,000							
Grand Totals							

STATE OF ARIZONA  
FY 2008 CAPITAL IMPROVEMENT PLAN  
OUTSTANDING LEASE-PURCHASE AND BOND REPORT

Form  
CIP-9  
(Rev 2/04)

Agency: \_\_\_\_\_

Outstanding Lease-Purchase Agreements

Year Issued Title	Project	Term	Issue Amount	Funding Source	FY 2005 Payment
Total					

Outstanding Bond Issues

Year Issued Title	Project	Term	Issue Amount	Funding Source	FY 2005 Payment	Bond Type
Total						

Bond Capacity Status (Universities Only)

Type	Authorized Amount	Issued Amount	Authorized Balance
Total			